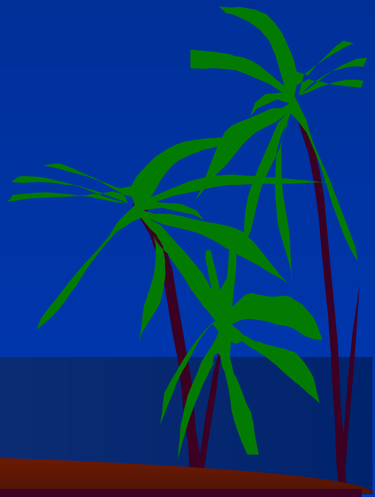
Records Management Briefing for the HED Staff – Mar 2002

Sponsored by: Information Mgmt Ofc

Agenda

- FAQ / MARKS #'s
- Elec. Document Mgmt System/EDMS
- Upcoming Inspection – May 2002
- 8 Mar 02 – HQ Rec Mgmt Conf Update
- ADMIN: Regulation, Policies & SOP's
- Records Holding Area
- Seattle Federal Records Center



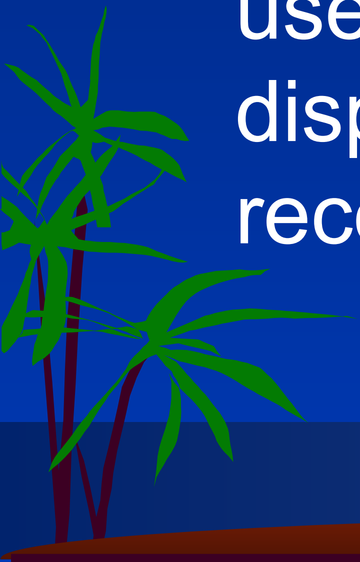
FAQ's

- Frequently Asked Questions

1) What is MARKS?

- Modern Army Recordkeeping System, AR 25-400-2. Copy w/ Admin Staff or view at: http:www.rmda.belvoir.army.mil

- ➢ The Army regulation by which the Corps uses to file, track, retain, access, and dispose of records to the prescribed records schedule.



Sample MARKS

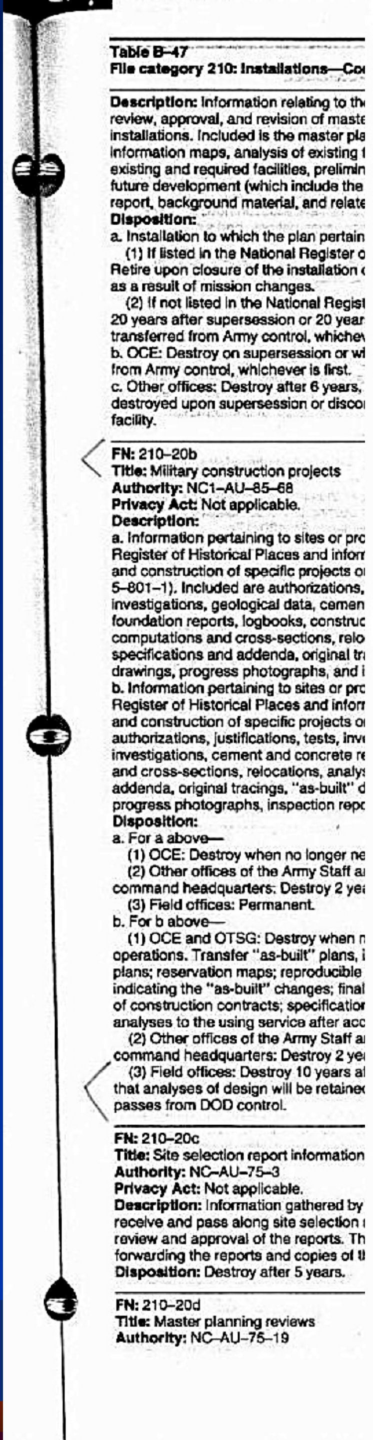


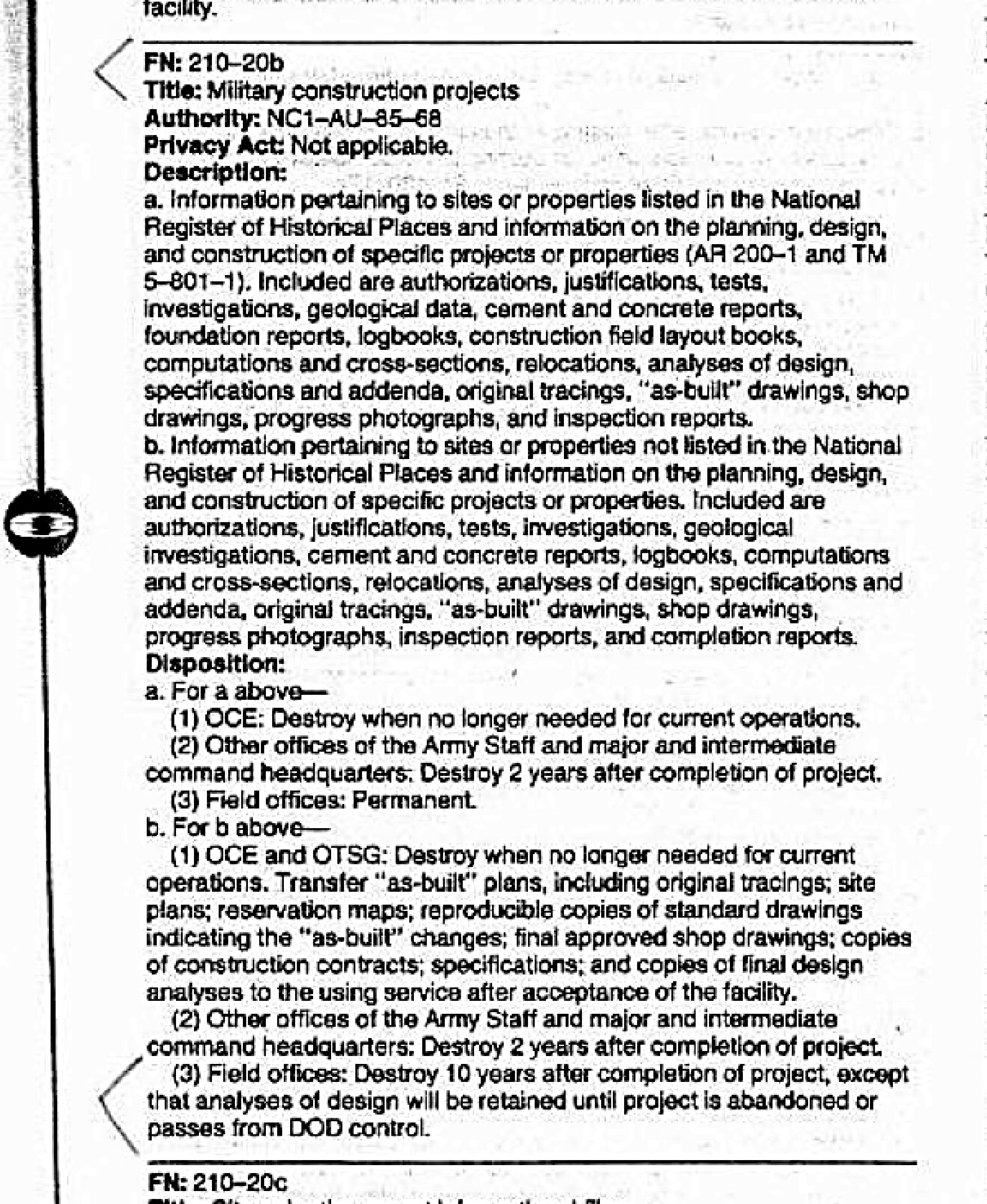
Table B–47
File category 210: Installations—Co

Description: Information relating to th
review, approval, and revision of maste
installations. Included is the master pla
information maps, analysis of existing f
existing and required facilities, prelimin
future development (which include the
report, background material, and relate
Disposition:
a. Installation to which the plan pertain
(1) If listed in the National Register o
Retire upon closure of the installation
as a result of mission changes.
(2) If not listed in the National Regist
20 years after supersession or 20 year
transferred from Army control, whichev
b. OCE: Destroy on supersession or wi
from Army control, whichever is first.
c. Other offices: Destroy after 6 years,
destroyed upon supersession or disco
facility.

FN: 210–20b
Title: Military construction projects
Authority: NC1–AU–85–68
Privacy Act: Not applicable.
Description:
a. Information pertaining to sites or pro
Register of Historical Places and infor
and construction of specific projects o
5–801–1). Included are authorizations,
investigations, geological data, cemen
foundation reports, logbooks, construc
computations and cross-sections, relo
specifications and addenda, original tr
drawings, progress photographs, and i
b. Information pertaining to sites or pro
Register of Historical Places and infor
and construction of specific projects o
authorizations, justifications, tests, inv
investigations, cement and concrete re
and cross-sections, relocations, analys
addenda, original tracings, "as-built" d
progress photographs, inspection repo
Disposition:
a. For a above—
(1) OCE: Destroy when no longer ne
(2) Other offices of the Army Staff a
command headquarters: Destroy 2 yea
(3) Field offices: Permanent.
b. For b above—
(1) OCE and OTSG: Destroy when n
operations. Transfer "as-built" plans, i
plans; reservation maps; reproducible
indicating the "as-built" changes; final
of construction contracts; specificatio
analyses to the using service after acc
(2) Other offices of the Army Staff a
command headquarters: Destroy 2 ye
(3) Field offices: Destroy 10 years a
that analyses of design will be retaine
passes from DOD control.

FN: 210–20c
Title: Site selection report information
Authority: NC–AU–75–3
Privacy Act: Not applicable.
Description: Information gathered by
receive and pass along site selection
review and approval of the reports. Th
forwarding the reports and copies of t
Disposition: Destroy after 5 years.

FN: 210–20d
Title: Master planning reviews
Authority: NC–AU–75–19



facility.

FN: 210–20b
Title: Military construction projects
Authority: NC1–AU–85–68
Privacy Act: Not applicable.
Description:
a. Information pertaining to sites or properties listed in the National Register of Historical Places and information on the planning, design, and construction of specific projects or properties (AR 200–1 and TM 5–801–1). Included are authorizations, justifications, tests, investigations, geological data, cement and concrete reports, foundation reports, logbooks, construction field layout books, computations and cross-sections, relocations, analyses of design, specifications and addenda, original tracings, "as-built" drawings, shop drawings, progress photographs, and inspection reports.
b. Information pertaining to sites or properties not listed in the National Register of Historical Places and information on the planning, design, and construction of specific projects or properties. Included are authorizations, justifications, tests, investigations, geological investigations, cement and concrete reports, logbooks, computations and cross-sections, relocations, analyses of design, specifications and addenda, original tracings, "as-built" drawings, shop drawings, progress photographs, inspection reports, and completion reports.
Disposition:
a. For a above—
(1) OCE: Destroy when no longer needed for current operations.
(2) Other offices of the Army Staff and major and intermediate command headquarters: Destroy 2 years after completion of project.
(3) Field offices: Permanent.
b. For b above—
(1) OCE and OTSG: Destroy when no longer needed for current operations. Transfer "as-built" plans, including original tracings; site plans; reservation maps; reproducible copies of standard drawings indicating the "as-built" changes; final approved shop drawings; copies of construction contracts; specifications; and copies of final design analyses to the using service after acceptance of the facility.
(2) Other offices of the Army Staff and major and intermediate command headquarters: Destroy 2 years after completion of project.
(3) Field offices: Destroy 10 years after completion of project, except that analyses of design will be retained until project is abandoned or passes from DOD control.

FN: 210–20c

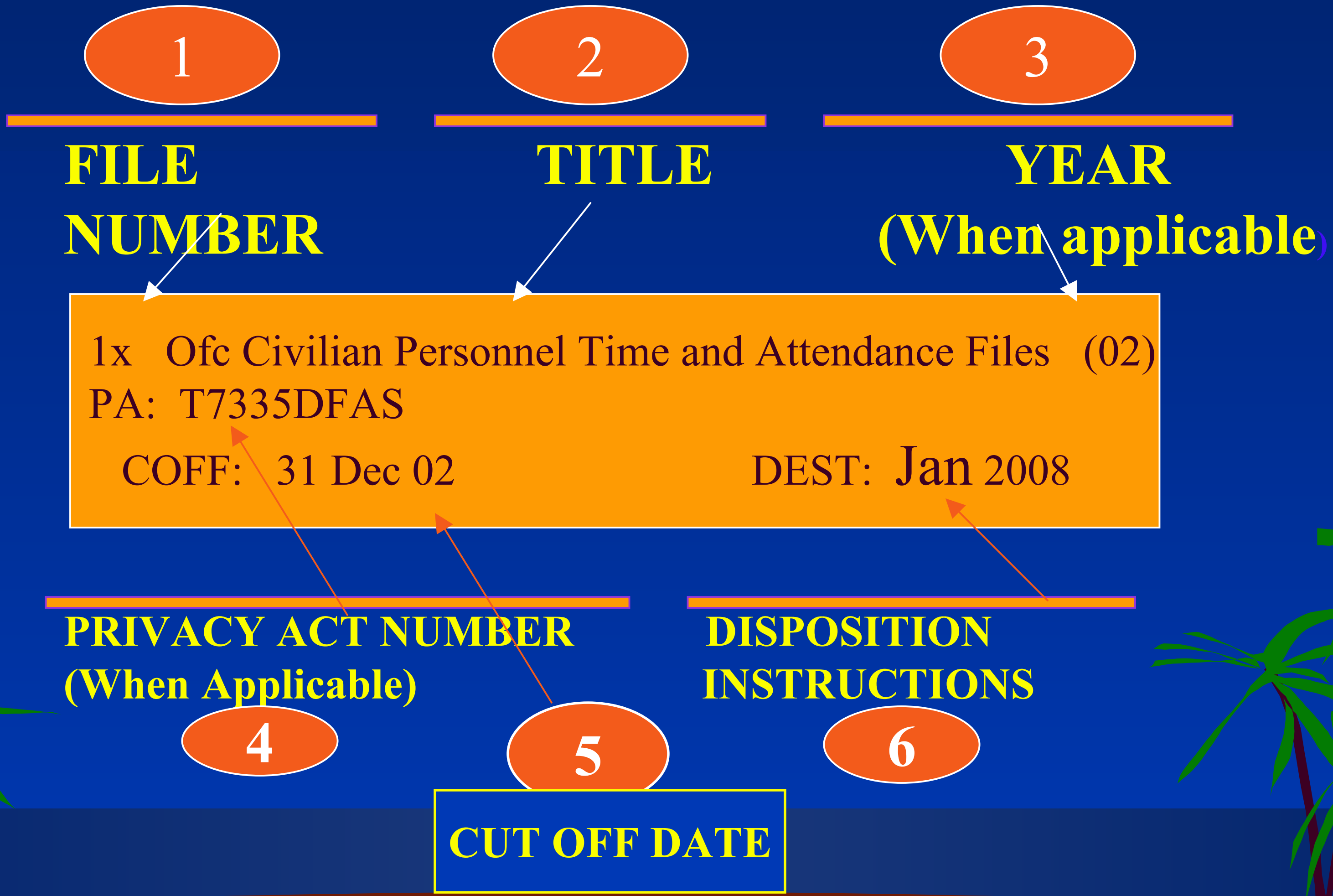
2) How long do I need to keep my records?

- Each record series has it’s own retention schedule dictating how long the record shall be kept.
- Based on administrative, fiscal, legal, environmental, civil works, historical value, etc.

Examples of MARKS File Categories & Retention's

- File # 37 – Financial Administration (2-6 yrs)
- File # 200 - Environmental (2 - Perm)
- File # 210 - MILCON (6-10 yrs)
- File #405 - Real Estate (1-10 yrs & Perm)
- File # 415 - Construction (6 - 10 yrs)
- File # 715 - Procurement (1-6 yrs)
- File # 1105 - CE Planning (5 to Perm)
- File # 1145 - CE Reg. (2 to Perm)

ELEMENTS OF A FILE LABEL



1 FILE NUMBER

2 TITLE

3 YEAR (When applicable)

1x Ofc Civilian Personnel Time and Attendance Files (02)
PA: T7335DFAS
COFF: 31 Dec 02 DEST: Jan 2008

4 PRIVACY ACT NUMBER (When Applicable)

5 CUT OFF DATE

6 DISPOSITION INSTRUCTIONS

LABELING

Proper labeling is essential for accurate filing, retrieving, and disposing of records.

1a Office File Numbers
DEST when superseded

LABELS ON FILE DRAWERS

CONTAINS TWO OR MORE RECORD SERIES

10 thru 58-1b (02)

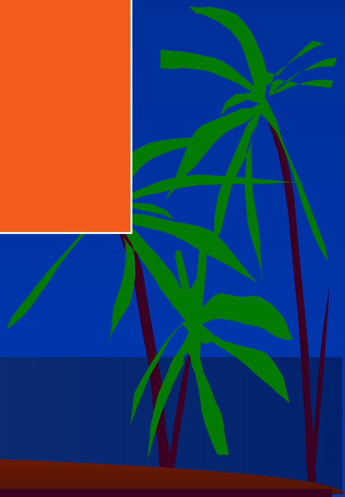
CONTAINS ONE RECORD SERIES

690-200e Locator Files
PA: OPM/GOVT-1
DEST on transfer or separation of the employee

RECORDS DIVIDED INTO TWO DRAWERS

690-200e Locator Files
(A thru L)
PA: OPM/GOVT-1
DEST on transfer or separation of the employee

690-200e Locator Files
(M thru Z)
PA: OPM/GOVT-1
DEST on transfer or separation of the employee



LABELING BOOKCASES/OVERHEADS

1jj Reference Publications

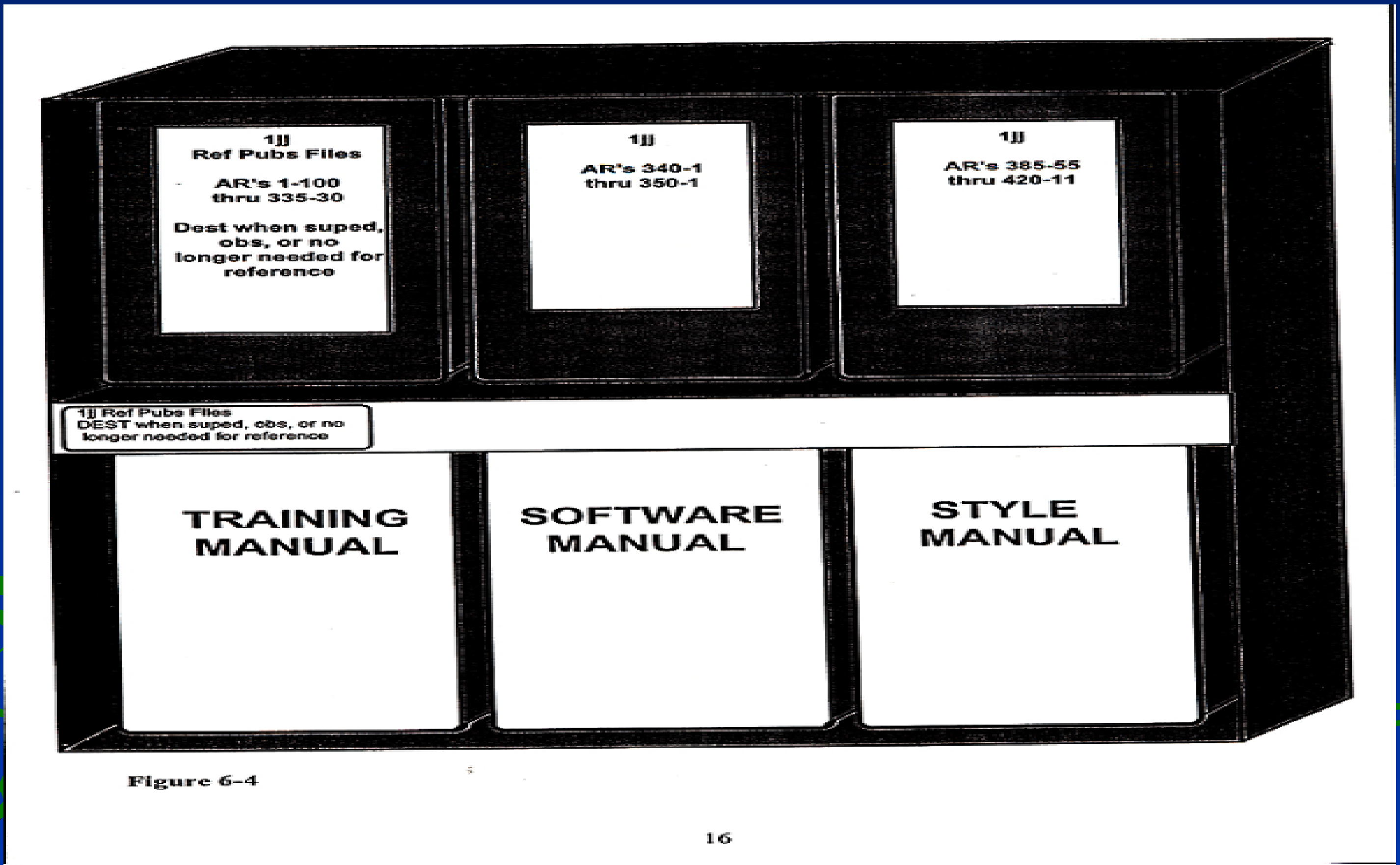

1jj
Ref Pubs Files
AR's 1-100
thru 335-30
Dest when suped, obs, or no longer needed for reference
1jj
AR's 340-1
thru 350-1
1jj
AR's 385-55
thru 420-11
1jj Ref Pubs Files
DEST when suped, obs, or no longer needed for reference
TRAINING MANUAL
SOFTWARE MANUAL
STYLE MANUAL

Figure 6-4

16

3) How many MARKS numbers apply to me?

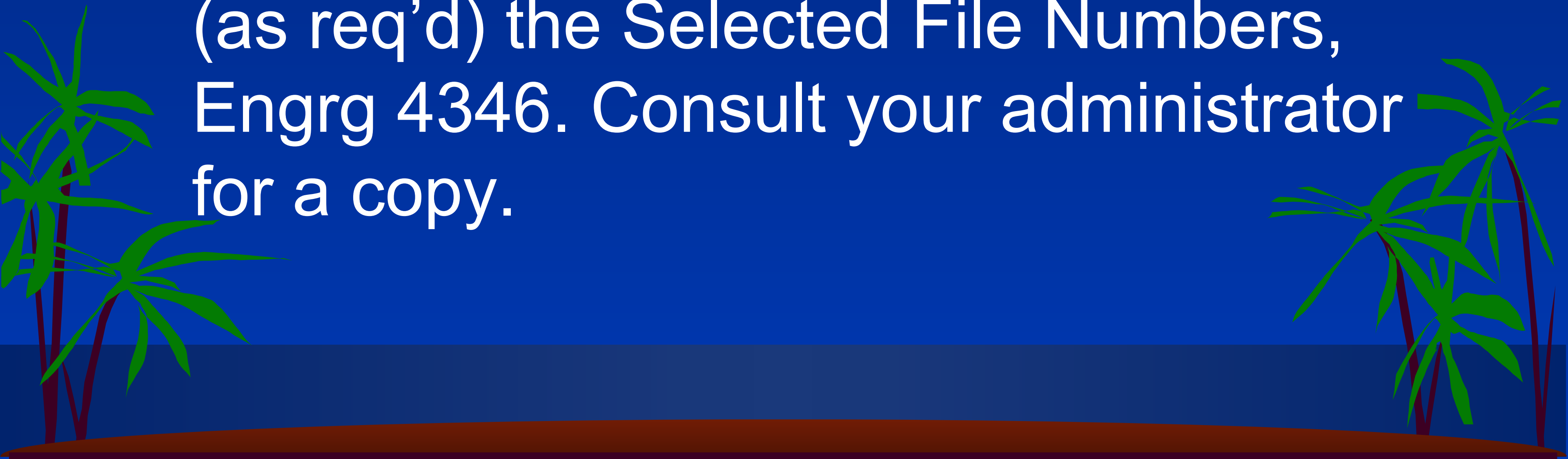
Two main categories:

- Admin Files or sometimes referred to as Housekeeping Files (Travel, T&A, Training, Personnel, CEFMS, etc.) usually maintained by the office admin/ supervisor.

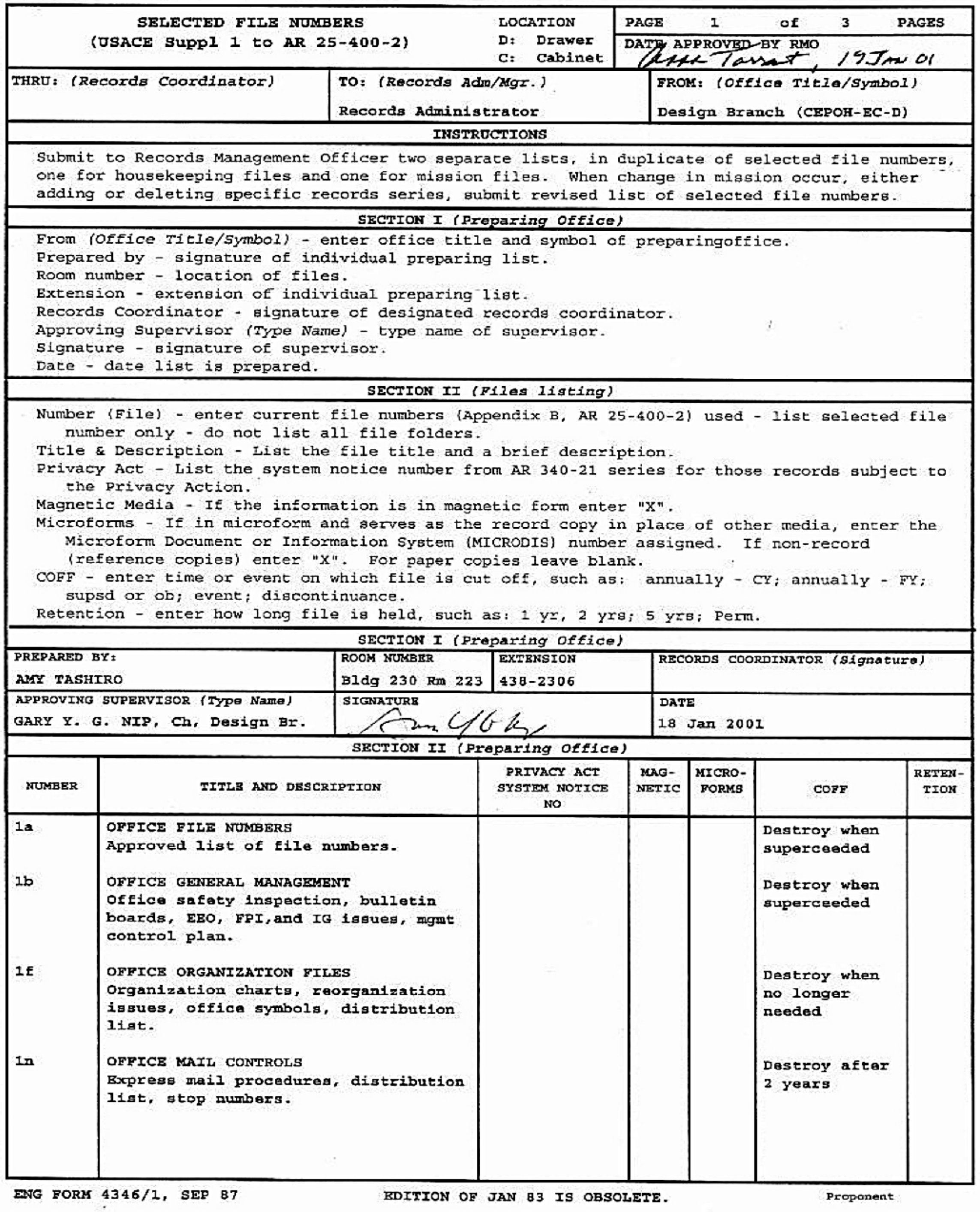
- Mission Files (For instance, Environmental, uses the 200 series. Counsel, uses 27 + other series depending on the work that you provide.

FAQ - 4

- Is there an index I can refer to help me understand these MARKS numbers generated in my office?
  - Yes, the admin staff annually updates (as req'd) the Selected File Numbers, Engrg 4346. Consult your administrator for a copy.



Engrg 4346/1



SELECTED FILE NUMBERS **(USACE Suppl 1 to AR 25-400-2)**	LOCATION D: Drawer C: Cabinet	PAGE 1 of 3 PAGES DATE APPROVED BY RMO Anne Tarrant, 19 Jan 01	
THRU: *(Records Coordinator)*	TO: *(Records Adm/Mgr.)* Records Administrator	FROM: *(Office Title/Symbol)* Design Branch (CEPOH-EC-D)	

INSTRUCTIONS

Submit to Records Management Officer two separate lists, in duplicate of selected file numbers, one for housekeeping files and one for mission files. When change in mission occur, either adding or deleting specific records series, submit revised list of selected file numbers.

SECTION I *(Preparing Office)*

From *(Office Title/Symbol)* - enter office title and symbol of preparingoffice.
Prepared by - signature of individual preparing list.
Room number - location of files.
Extension - extension of individual preparing list.
Records Coordinator - signature of designated records coordinator.
Approving Supervisor *(Type Name)* - type name of supervisor.
Signature - signature of supervisor.
Date - date list is prepared.

SECTION II *(Files listing)*

Number (File) - enter current file numbers (Appendix B, AR 25-400-2) used - list selected file number only - do not list all file folders.
Title & Description - List the file title and a brief description.
Privacy Act - List the system notice number from AR 340-21 series for those records subject to the Privacy Action.
Magnetic Media - If the information is in magnetic form enter "X".
Microforms - If in microform and serves as the record copy in place of other media, enter the Microform Document or Information System (MICRODIS) number assigned. If non-record (reference copies) enter "X". For paper copies leave blank.
COFF - enter time or event on which file is cut off, such as: annually - CY; annually - FY; supsd or ob; event; discontinuance.
Retention - enter how long file is held, such as: 1 yr, 2 yrs; 5 yrs; Perm.

SECTION I *(Preparing Office)*

PREPARED BY: AMY TASHIRO	ROOM NUMBER Bldg 230 Rm 223	EXTENSION 438-2306	RECORDS COORDINATOR *(Signature)*
APPROVING SUPERVISOR *(Type Name)* GARY Y. G. NIP, Ch, Design Br.	SIGNATURE		DATE 18 Jan 2001

SECTION II *(Preparing Office)*

NUMBER	TITLE AND DESCRIPTION	PRIVACY ACT SYSTEM NOTICE NO	MAG-NETIC	MICRO-FORMS	COFF	RETEN-TION
1a	OFFICE FILE NUMBERS Approved list of file numbers.				Destroy when superceeded	
1b	OFFICE GENERAL MANAGEMENT Office safety inspection, bulletin boards, EEO, FPI, and IG issues, mgmt control plan.				Destroy when superceeded	
1f	OFFICE ORGANIZATION FILES Organization charts, reorganization issues, office symbols, distribution list.				Destroy when no longer needed	
1n	OFFICE MAIL CONTROLS Express mail procedures, distribution list, stop numbers.				Destroy after 2 years	

ENG FORM 4346/1, SEP 87 EDITION OF JAN 83 IS OBSOLETE. Proponent

- 5) Does Records Mgmt only apply to paper?
  - No. Records can be in any medium or format: microfilm, videotape, maps, blueprints, CADD, photographs, spreadsheets, email, etc.
  - MARKS provides instruction for the retention of all types of non-paper records.

FAQ #6

- I have a lot of records around that I do not need anymore and they are taking up space. Am I free to recycle or destroy them?

- ➢ No! All records are government property. They cannot be loaned, recycled or destroyed without proper disposition authority IAW MARKS.

  Unless dupes, copies, vendor catalogs, journals, blank forms or solely for convenience, not considered official, can be destroyed.
- ➢ Consult your Ofc Admin or Records Manager for guidance on “how to” accomplish this.

FAQ #7

- How can I reduce the volume of records in my office?
  - Use the MARKS for instruction to destroy records when no longer needed or see Anna, IMO.
  - Purge – Annually – A good HABIT.
  - Transfer temporary files to the RHA - Quarterly
  - Transfer permanent-type to the Seattle FRC. Semi-annually
  - The office administrator cannot do the job alone, you need to advise and assist.

FAQ #8

- Why do we have to do Records Mgmt and how do I benefit?

✓ Stay in compliance with Federal Law

✓ Efficiency to do your job / actions and decisions

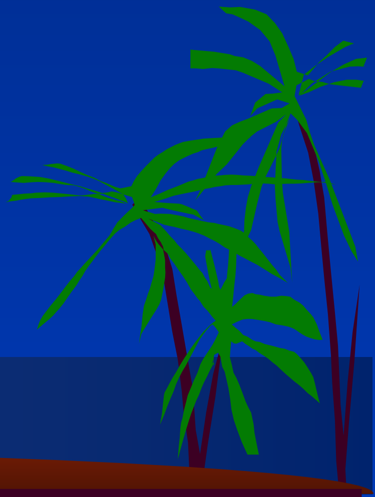
✓ Free up valuable office space

✓ Allow quicker retrieval of documents

✓ Save money on space, equipment and staff time

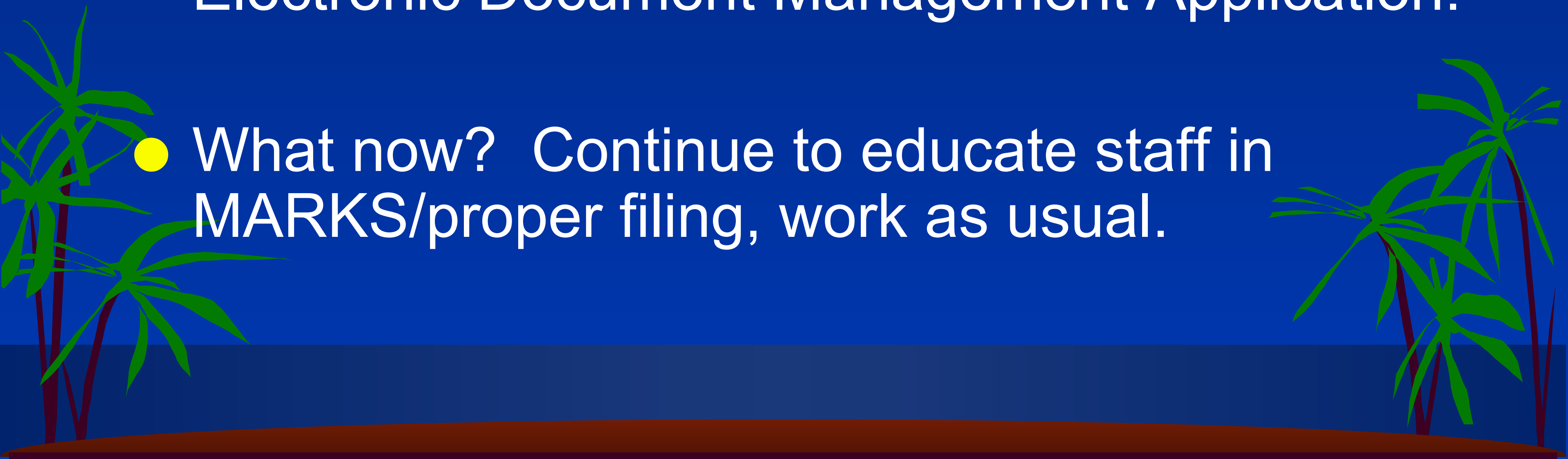
✓ Maintain economy

✓ Need to know for use in EDMS



CE Electronic Document Mgmt System (CEEDMS)

- CEEDMS has been terminated by HQUSACE, too expensive, guidance to go out in Mar/Apr 02.
- HQ will seek option(s) to implement an Electronic Document Management Application.
- What now? Continue to educate staff in MARKS/proper filing, work as usual.



Upcoming Inspection-May 02

- Provided Admin Support advance copy of Checklist in Feb to prepare for Files Inspection in May 02.

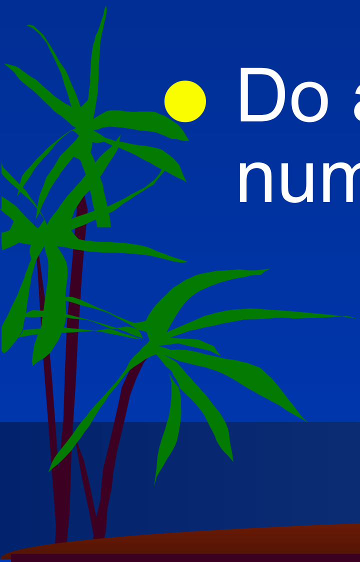
- Individual's cubicle will also be surveyed (unnecessary clutter, duplicate copies, boxes, binders, drawings, etc). Stop me if you have any questions, "I come in peace." ☺

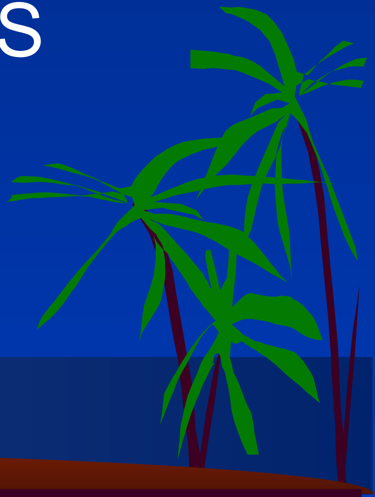
Inspection/Survey

- Are file folders kept in work area/cabinets properly typed and labeled by FY/CY and disposition?

Ex: 1110 Gen. CE Corresp Jan 2002
Disp: Oct 2004

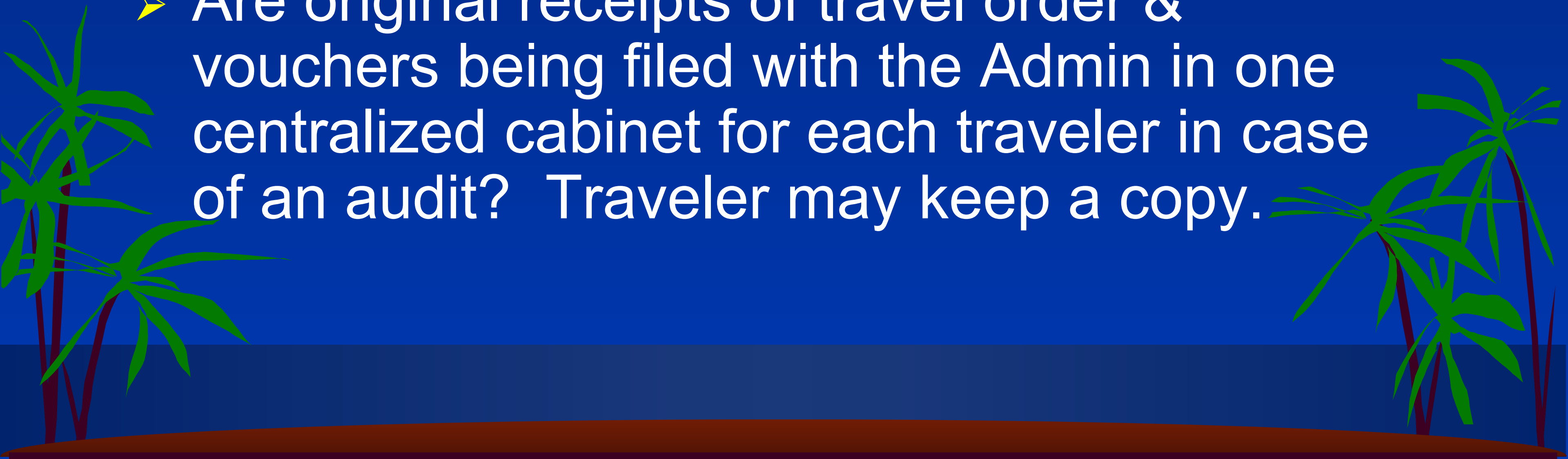
- Do all correspondence include a MARKS number?





Inspection / Survey

- Are admin/ project files being transferred to RHA, NARA or properly purged in-house IAW MARKS?
- Are materials (envelopes, paper clips being removed prior to filing?
- Are original receipts of travel order & vouchers being filed with the Admin in one centralized cabinet for each traveler in case of an audit? Traveler may keep a copy.

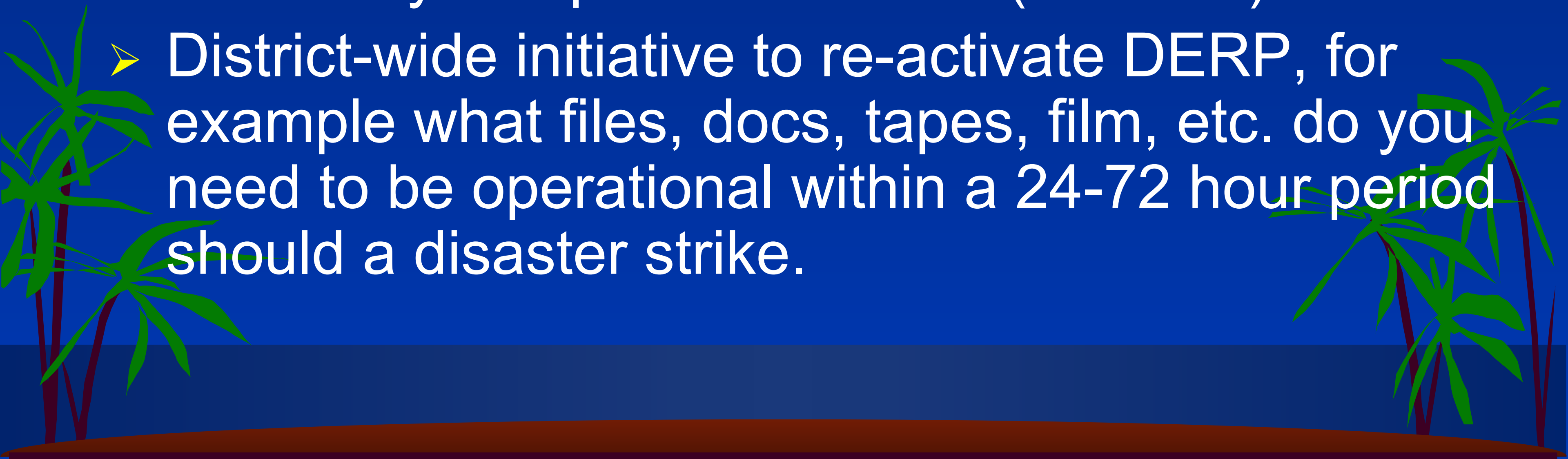


HQ Conference

- 8 Mar – Topics Discussed / Coming

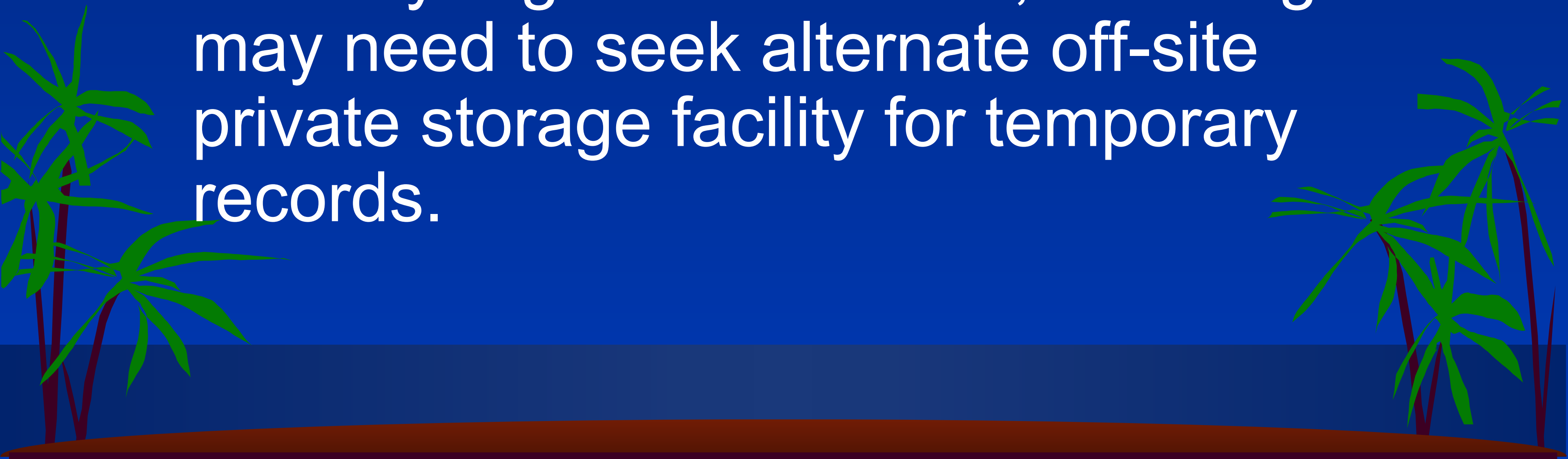
8 Mar 02 – Vital Records

- Duplicate Emergency Recovery Program, (DERP), AR 340-26
- Disaster Recovery Planning
  - September 11
  - Natural Disasters
  - Building / Equipment Disasters
- Continuity of Operations Plans (COOPS) / EMD
- District-wide initiative to re-activate DERP, for example what files, docs, tapes, film, etc. do you need to be operational within a 24-72 hour period should a disaster strike.



8 Mar 02 - Conf Update

- Continue using MARKS numbers 37 series, Financial Administration
- Official Mail – report any suspicious mail to your supervisor and security manager immediately, retain for evidence.
- DA may regionalize RHA’s, meaning we may need to seek alternate off-site private storage facility for temporary records.



Administrative Reminders

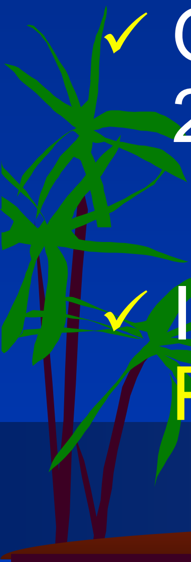
Regulations, Policies, SOP's:

- Submit (in electronic format) Internal SOP's, POH Regs, & Commander Policy Memos to IM for authentication, formatting, proper coordination prior to final signature.
- Upon completion of the above, proper distribution and posting to the webpage will be made by IM.

- POC: Anna Tarrant, x8349 or email

HQ Ref. (Corresp, Pubs, Files)

- URL:usace.army.mil/inet/usace-docs/om/ceim-htm
- ✓ Ofc Memo, OM 25-1-50, Correspondence,
- ✓ dtd 16 Jul 01
- ✓ Ofc Memo, OM 25-1-51, Guidance for Preparing Command Publications, 30 Jun 99
- ✓ Ofc Memo, OM 25-1-98, Files Maintenance, dtd 29 Jan 99
- ✓ IM will be issuing a POH Regulation on Preparing Publications (Regs/Policies/SOP's)



Copier Program

- Reminder: All request(s) for copier equipment shall be approved through IM, Copier Manager, prior to any purchase/lease.

- IM ensures the justification, budget, needs requirement are met, and approve per AR 25-30.

Records Holding Area (RHA)

- Tour of the RHA, Schofield (on location)
- Gary Ludewig (RHA/Pubs Supervisor)
- Only temporary records such as financial (3-6 yrs), MILCON, Installation records (4-6 yrs) are stored at the RHA.

Gary Ludewig - RHA

Mvc-001v.mpg

UTHORIZED PERSONNEL ONLY BEYOND THIS POINT.
RHA
1 NO SMOKING 331
330 660
661 991
990 1320

INSTRUCTIONS (1 OF 2)
2641 NO SMOKING 2971
2970 3300
INSTRUCTIONS (2 OF 2)
INSTRUCTIONS (1 OF 2)

FRONT
1723
OX NUMBER
OF 25
ACCESSION NUMBER
1726
POD
AGENCY BOX NUMBER #16 OF 39
CEPOH-RM-FA
FRONT
ACCESSION NUMBER
1727
CEPOH-
1726
ACCESSION NUMBER
AGENCY BOX NUMBER

1321 NO SMOKING 1651
1650 1980
1981 2311
2310 2640
2641 NO SMOKING 2971
2970 3300

TRO
RHA 1665
RHA 1668
FRONT

AUTHORIZED PERSONNEL ONLY BEYOND THIS POINT.
1
330
NO SMOKING
331
660

1980
1981
2310
2311
2640
2641
2970
NO SMOKING
2971
3300

Records at the RHA

- RHA stores 1,493 of HED’s record boxes from RM, CT, OC, PP, EC, awaiting their 4-6 years disposition.
- IM/LM also recycle/destroy ~100 boxes (semi-annually) to free space.
- SPECIAL THANKS to the Logistics Crew for their support.

View of Seattle's Federal Records Center

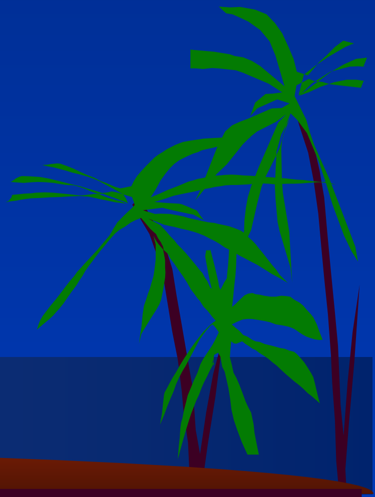
- Only Permanent-type records are transferred to the Seattle FRC.
- For example: Environmental, Civil Works, Regulatory records, etc. usually from 20 to 50 yrs to permanent archival.

Pacific Alaska Region

NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION
PACIFIC ALASKA
REGION

Seattle Records Center: Statistics

- Capacity: 840,000 boxes
- Monthly Accessions: 4,200 boxes
- Monthly Requests: 18,000



HED’s Stats

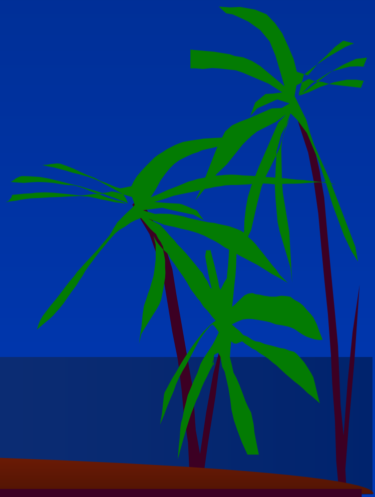
- 800 boxes stored at the Seattle Federal Records Center.
- ✓ Some boxes of which have now been transferred to the National Archives in San Bruno, CA.
- ✓ In 2001, HED transferred 97 boxes.
- ✓ Retrieved a total of 34 record boxes within a 7-9 day turn-around.

Review

- ✓ File records properly so you and others can find and
- ✓ use them efficiently.

- ✓ Create, keep current, and use your “Selected List of File Numbers”.

- ✓ Retire to the RHA and permanent records to NARA.



Review - RECORDS MANAGEMENT

- ✓ Break the “extra copy” habit.
- ✓ Keep your personal papers separate from office records…take it home!
- ✓ When you change jobs, records belong to the Federal Government - Not You!

Next HED Transfer to the RHA

- Scheduled for Friday, 7Jun 02
- All SF-135 shall be turned in to Anna NLT 5 Jun 02
- Final coordination & pickup w/Anna & LM

Questions/Answers?

Thanks for attending!

Contact Anna Tarrant,
IMO, x8349